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APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/990,099	11/21/2001	1645	0.00	P0012US20	4	76	7

CONFIRMATION NO. 1291

29490
GENOMICS INSTITUTE
OF THE NOVARTIS RESEARCH FOUNDATION
3115 MERRYFIELD ROW
SUITE 200
SAN DIEGO, CA 92121

FILING RECEIPT



OC000000007159697

Date Mailed: 12/05/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Scott A. Lesley, San Diego, CA;
Mark Knuth, El Cajon, CA;

Assignment For Published Patent Application

IRM LLC;

Domestic Priority data as claimed by applicant

THIS APPLN CLAIMS BENEFIT OF 60/324,833 09/24/2001.

*This appl. also claims ~~priority~~
benefit of US Appl. No. 09/721,340,
filed 11/21/00.*

Foreign Applications

If Required, Foreign Filing License Granted 12/05/2001

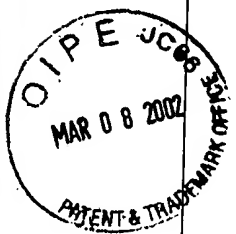
Projected Publication Date: To Be Determined - pending completion of Missing Parts

Non-Publication Request: No

Early Publication Request: No

Title

Solubility reporter gene constructs



PATENT
Attorney Docket No.: P0012US20

I hereby certify that this is being deposited
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date indicated below, addressed to:

US Patent and Trademark Office, Box MISSING
PARTS
PO Box 2327
Arlington VA 22202

8

Mailing Date: March 5, 2002

By: Ofelia Rosado
Ofelia Rosado

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Scott A. LESLEY et al.

Application No.: 09/990,099

Filed: November 21, 2001

For: SOLUBILITY REPORTER GENE
CONSTRUCTS

Art Unit: 1645

Examiner: not yet assigned

PRELIMINARY AMENDMENT

and

**REQUEST FOR CORRECTION OF
FILING RECEIPT**

Box MISSING PARTS
US Patent and Trademark Office
Arlington VA 22202

Sir:

This is submitted in response to the Notice to File Missing Parts dated December 5, 2001. A petition to extend the time for response for one month, from February 5, 2002 to and including March 5, 2002, is enclosed.

Preliminary Amendment

Please delete pages 1-9 of the originally filed paper copy of the Sequence Listing and replace with the encloses substitute pages 1-14. A computer readable form (CRF) of the enclosed sequence listing was submitted electronically on March 5, 2002 (copy of Acknowledgement Receipt is attached). This CRF was prepared using PatentIn v. 3.1. The information recorded in computer readable form is identical to that contained in the enclosed

substitute paper copy of the sequence listing. Moreover, the enclosed substitute paper version of the sequence listing introduces no new matter into the application as originally filed. The substitute sequence listing is identical to the paper copy of the sequence listing that was originally filed with the application, except that the serial number and filing date is provided in the substitute sequence listing, as are the serial numbers and filing dates of the parent applications. The difference in the number of pages is due to changes in line spacing.

Request for Correction of Filing Receipt

Applicants respectfully request correction of an error that appears on the Filing Receipt. Specifically, the Filing Receipt does not list Applicants' claim to the November 21, 2000 priority date of US Application No. 09/721,340. This priority claim appears on the Application Data Sheet that was included with the application as originally filed, and also appears in the first page of the specification. Prior to filing the instant application, Applicants submitted a petition to convert Application No. 09/721,340 to a provisional application. Applicants have not yet been notified as to whether the petition has been granted. A copy of the Filing Receipt showing the requested change is enclosed.

Response to Notice to File Missing Parts

Applicants enclose herewith a copy of the Notice to File Missing Parts, an executed Declaration, and authorization to charge the surcharge for late filing of the Declaration to Deposit Account No. 50-1885.

CONCLUSION

In view of the foregoing, Applicant believes that this application is now in condition for examination. If a telephone conference would expedite prosecution of this application, please telephone the undersigned attorney at 858-812-1547.

Respectfully submitted,

Timothy L. Smith

Timothy L. Smith, Ph.D.
Reg. No. 35,367

GENOMICS INSTITUTE OF THE NOVARTIS RESEARCH FOUNDATION
10675 John Jay Hopkins Drive, Suite E225
San Diego, CA 92121
Tel: (858) 812-1547
Fax: (858) 812-1570

Acknowledgment Receipt:

SUBMISSION TYPE: BIO Sequence Filing
APPLICATION NUMBER: 09990099
FIRST NAMED INVENTOR: Scott LESLEY
TITLE OF INVENTION: SOLUBILITY REPORTER GENE CONSTRUCTS
ATTORNEY DOCKET NUMBER: P0012US20



FILE LISTING:

transmittal	tranP0012US20.xml 6752 Bytes
sequence-listing	p0012US20.ST25.txt 15407 Bytes
biotechnology-listing-filing	P0012US20bio.xml 997 Bytes
biotechnology-listing-filing	u-bio.dtd 3619 Bytes
biotechnology-listing-filing	e-bioseq.xsl 6067 Bytes

EFS ID: 14106

FILE SIZE: 19003 Bytes

TIMESTAMP: Tue Mar 05 12:30:02 EST 2002

MESSAGE DIGEST: mx9Ua3grj8qcFT7IkG72Nw==

DIGITAL CERTIFICATE HOLDER NAME: cn=Timothy L. Smith., ou=Registered Attorneys

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FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$) 2214

Complete if Known

Application Number 09/990,099
Filing Date November 21, 2001
First Named Inventor Scott A. LESLEY
Examiner Name
Group / Art Unit 1645
Attorney Docket No. P0012US20

METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account:

Deposit
Account
Number

50-1885

Deposit
Account
Name

GENOMICS INSTITUTE OF THE NOVARTIS
RESEARCH FOUNDATION

The Commissioner is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments
☐ Charge any additional fee(s) during the pendency of this application
☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

FEE CALCULATION

1. BASIC FILING FEE

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	740	201	370	Utility filing fee	740
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	

SUBTOTAL (1)

(\$) 740

2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
76	-20 **	56	18
Independent Claims	7	-3 **	4
Multiple Dependent			0

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple dependent claim, if not paid
109	84	209	42	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2)

(\$) 1344

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	130
127	50	227	25	Surcharge - late provisional filing fee or cover sheet.	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17 (q)	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

(\$) 130

SUBMITTED BY

Name (Print/Type)	Registration No. Attorney/Agent)	Telephone
Timothy L. Smith	35,367	858-812-1547
Signature	Date	March 5, 2002

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



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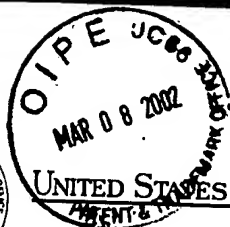
Approved for use through 10/31/2002. OMB 0651-0031
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

TRANSMITTAL FORM <i>(to be used for all correspondence after initial filing)</i>	Application Number	09/990,099	
	Filing Date	November 21, 2001	
	First Named Inventor	Scott A. LESLEY	
	Group Art Unit	1645	
	Examiner Name		
Total Number of Pages in This Submission	27	Attorney Docket Number	P0012US20

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input checked="" type="checkbox"/> Response to Missing Parts/ Incomplete Application <input checked="" type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Executed Declaration Copy of Notice to File Missing Parts Copy of filing receipt with requested changes Preliminary Amendment and Request for correction of filing receipt Paper Copy of Sequence Listing (14 pp)
Remarks		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Timothy L. Smith, Reg. No. 35,367
Signature	<i>Timothy L. Smith</i>
Date	March 5, 2002

CERTIFICATE OF MAILING			
I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: US Patent and Trademark Office, PO Box 2327, Arlington VA 22202 on this date: <u>March 5, 2002</u>			
Typed or printed name	Ofelia Rosado		
Signature	<i>Ofelia Rosado</i>	Date	March 5, 2002



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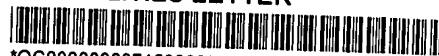
APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/990,099	11/21/2001	Scott A. Lesley	P0012US20

29490
GENOMICS INSTITUTE
OF THE NOVARTIS RESEARCH FOUNDATION
3115 MERRYFIELD ROW
SUITE 200
SAN DIEGO, CA 92121

CONFIRMATION NO. 1291

FORMALITIES LETTER

#7



OC000000007159698

Date Mailed: 12/05/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.

Applicant must submit \$ 740 to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37 CFR 1.27).

- Total additional claim fee(s) for this application is \$1344.

- \$1008 for 56 total claims over 20.

- \$336 for 4 independent claims over 3.

03/13/2002	BNGUYEN1	00000065	501005	09990099
01 FC:101			740.00	CH
02 FC:103			1008.00	CH
03 FC:102			336.00	CH
04 FC:105			130.00	CH

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 2214.**

- This application does not contain a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). Applicant must provide such statement. If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000).
- A copy of the "Sequence Listing" in computer readable form has not been submitted as required by 37 C.F.R. 1.821(e). If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000). Applicant must provide an initial computer readable form (CRF) copy of the "Sequence Listing" and a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If applicant desires the

sequence listing in the instant application to be identical with that of another application on file in the U.S. Patent and Trademark Office, such request in accordance with 37 CFR 1.821(e) may be submitted in lieu of a new CRF.

For questions regarding compliance to these requirements, please contact:

- For Rules Interpretation, call (703) 308-4216
- To Purchase PatentIn Software, call (703) 306-2600
- For PatentIn Software Program Help, call (703) 306-4119 or e-mail at patin21help@uspto.gov or patin3help@uspto.gov

*A copy of this notice **MUST** be returned with the reply.*



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PART 2 - COPY TO BE RETURNED WITH RESPONSE